**INITIAL**

**End Date:** 5/4/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 5/5/2023

### Daily Segregation - Secured Amounts

**Foreign Futures and Foreign Options Secured Amounts**

- **Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder:** 0

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash:** 2,976,895
   - **B. Securities (at market):** 0

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 4,355,294

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade:** 0
   - **b. Market value of open contracts granted (sold) on a foreign board of trade:** -85,110

4. **Net equity (deficit) (add lines 1. 2. and 3.):** 7,247,079

5. **Account liquidating to a deficit and account with a debit balances - gross amount:** 0

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:** 7,247,079

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** 32,842,872
   - **B. Other banks qualified under Regulation 30.7:** 0

2. **Securities**
   - **A. In safekeeping with banks located in the United States:** 0
   - **B. In safekeeping with other banks qualified under Regulation 30.7:** 0

3. **Equities with registered futures commission merchants**
   - **A. Cash:** 350,725
   - **B. Securities:** 0
   - **C. Unrealized gain (loss) on open futures contracts:** 5,964
   - **D. Value of long option contracts:** 0
   - **E. Value of short option contracts:** 356,689

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash:** 0
   - **B. Securities:** 0
   - **C. Amount due to (from) clearing organization - daily variation:** 0
   - **D. Value of long option contracts:** 0
   - **E. Value of short option contracts:** 0

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash:** 558,866
   - **B. Securities:** 0
   - **C. Unrealized gain (loss) on open futures contracts:** 4,349,330
   - **D. Value of long option contracts:** 0
   - **E. Value of short option contracts:** -85,110

6. **Amounts with other depositories designated by a foreign board of trade:** 0

7. **Segregated funds on hand:** 0

8. **Total funds in separate section 30.7 accounts:** 38,022,647

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement)**

10. **Management Target Amount for Excess funds in separate section 30.7 accounts:** 15,000,000

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target:** 15,775,568
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### Daily Segregation - Segregation Statement

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA)

1. Net ledger balance
   - **A. Cash** 40,791,880 [7010]
   - **B. Securities (at market)** 137,278,644 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 
   - **-3,698,883** [7030]

3. Exchange traded options
   - **A. Add market value of open option contracts purchased on a contract market** 287,038 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market** -735,513 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 
   - **173,923,166** [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 
   - **0** [7045]
   - Less: amount offset by customer securities 
     - **0** [7047] [7050]

6. Amount required to be segregated (add lines 4 and 5) 
   - **173,923,166** [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - **A. Cash** 78,575,212 [7070]
   - **B. Securities representing investments of customers' funds (at market)** 0 [7080]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)** 0 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   - **A. Cash** 0 [7100]
   - **B. Securities representing investments of customers' funds (at market)** 0 [7110]
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)** 0 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets
   - **0** [7130]

10. Exchange traded options
    - **A. Value of open long option contracts** 0 [7132]
    - **B. Value of open short option contracts** 0 [7133]

11. Net equities with other FCMs
    - **A. Net liquidating equity** 9,721,912 [7140]
    - **B. Securities representing investments of customers' funds (at market)** 0 [7160]
    - **C. Securities held for particular customers or option customers in lieu of cash (at market)** 137,278,644 [7170]

12. Segregated funds on hand
    - **0** [7150]

13. Total amount in segregation (add lines 7 through 12) 
    - **225,575,768** [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 
    - **51,652,602** [7190]

15. Management Target Amount for Excess funds in segregation 
    - **25,000,000** [7194]

16. Excess (deficiency) funds in segregation over (under) Management Target Amount 
    - **Excess** 26,652,602 [7198]